

security received over the network, and transmitting the updated data to the first user, without receiving a request for updated data from the first user; and

(d) electronically receiving an acceptance of one of the offers to sell from the first user and in, response, electronically updating the data representing the offers to sell.

2. The method of claim 1 further comprising electronically receiving an offer to sell from the first user and electronically updating the data representing the offers to sell the first security so as to include the offer to sell received from the first user.

3. The method of claim 1 further comprising storing the data representing the orders to sell and the orders to purchase the first security at a master database of a root server.

4. The method of claim 3 further comprising storing the data representing the offers to sell and the offers to purchase at a plurality of replica servers connected by a network to the root server.

5. The method of claim 4 further comprising establishing a connection between one of the replica servers and computer equipment of the first user.

6. The method of claim 4 wherein the step (c) of electronically updating further comprises:

(a) electronically receiving the new offer from a second user at a replica server to which the second user is connected;

(b) electronically providing the new offer from the replica server to the root server;

(c) electronically updating the master database stored at the root server based on the new offer;

(d) electronically providing the new offer to the replica servers; and

(e) updating databases stored at the replica servers based on the new offer.

7. The method of claim 1 further including receiving a request from a second user to negotiate purchase price of the first securities offered by the third user and electronically establishing a negotiation between the second and the third users.

8. A computer program for providing a computer interface facilitating user-to-user security trading service for users communicating over a network with a computer system, the interface comprising: (a) a computer display of orders to buy certain securities at different prices based on data transmitted over the network by at least some of the users of the service; and (b) a computer display of offers to sell the certain securities at different prices based on data transmitted over the network by at least some of the users of the service.

9. The program of claim 8 wherein the network is the Internet.

10. The program of claim 9 wherein the users are individuals.

11. The program of claim 8 further including software for providing a computer display of a graphical representation of a range of prices offered for the certain securities in the user-to-user trading.

12. The program of claim 8 further including software for displaying offers to buy or offers to sell provided by a particular user.

13. The program of claim 8 further including software for displaying a negotiation process between two users in connection with purchasing a number of the certain securities, including means for displaying an electronic form for entering a counter-offer.

14. The program of claim 8 further including software for displaying a button for accepting an offer.

15. The program of claim 8 further including software for displaying a graphical display of a price of the certain securities paid by a user.

16. A computer program for providing a computer interface which facilitates security trading by a user communicating over a network with at least one computer system, the interface comprising simultaneously displayed non-overlapping computer displays which include: (a) a computer display of user's current security positions, (b) a computer display of an open order list of the user, (c) a computer display of a trade ticket, (d) a computer display of a watch list of securities wherein a price of at least one of the securities displayed in the watch list is automatically updated without the user requesting each update.

17. The program of claim 16 further providing a computer display of offers to buy and offers to sell the securities.

18. The program of claim 17 further including software for providing a simultaneously displayed non-overlapping computer display of news items.

19. The program of claim 18 further including means for pre-filling the trade ticket.

20. The program of claim 19 further including software for simultaneously displaying non-overlapping computer display of performance of the securities.

21. An article of manufacture storing a computer program for providing a computer interface facilitating user-to-user security trading service for users communicating over a network with a computer system, the interface comprising: (a) a computer display of orders to buy certain securities at different prices based on data transmitted over the network by at least some of the users of the service; and (b) a computer display of offers to sell the certain securities at different prices based on data transmitted over the network by at least some of the users of the service.

22. The article of claim 21 wherein the network is the Internet.

23. The article of claim 22 wherein the users are individuals.

24. The article of claim 21 wherein the program further provides a computer display of a graphical representation of a range of prices offered for the certain securities in the user-to-user trading.

[24]25. (Amended) The article of claim 21 wherein the program further provides a display of orders provided by a particular user.

[25]26. (Amended) The article of claim 21 wherein the program further provides a display of a negotiation process between two users in connection with purchasing a number of the certain securities, including an electronic form for entering a counter-offer.

[26]27. (Amended) The article of claim 21 wherein the program further provides a computer display of a button for accepting an offer.

A [27]28. (Amended) The article of claim 21 wherein the program further provides a graphical display of a price of the certain securities paid by a user.

[28]29. (Amended) An article of manufacture storing a computer program for providing a computer interface which facilitates security trading by a user communicating over a network with at least one computer system, the interface comprising simultaneously displayed non-overlapping computer displays including: (a) a computer display of user's current security positions, (b) a computer display of an open order list of the user, (c) a computer display of a trade ticket, (d) a computer display of a watch list of securities wherein a prices for at least one security is automatically updated without the user requesting each update.

[29]30. (Amended) The article of claim [28]29 wherein the program further provides a computer display of offers to buy and offers to sell securities entered in a user-to-user trading.

[30]31. (Amended) The article of claim [28]29 wherein the program further provides a simultaneously displayed non-overlapping computer display of news items.

[31]32. (Amended) The article of claim [45]29 wherein the program further provides means for pre-filling the trade ticket.

[32]33. (Amended) The article of claim [45]29 wherein the program further provides a simultaneously displayed non-overlapping computer display of performance of the securities.

[33]34. (Amended) A computer program for providing a computer interface which facilitates electronic security trading by a user communicating over a network with at least one computer system, comprising: (a) software for graphically displaying bid, ask, and spread for a security in active trading in a first market; and (b) software for simultaneously graphically displaying a trade for the security in a second market in such a manner that a value of the trade in the second market can be readily visually compared with the bid, ask, and spread in the first market.

[34]35. (Amended) The program of claim [33]34 wherein the trade in the second market is the last trade in the second market.

[35]36. (Amended) The program of claim [33]34 further comprising software for simultaneously graphically indicating user's position in the security based on the average price of shares held in user's account such that the indicated user's position can be readily visually compared with the displayed value of the trade in the second market and the bid, ask, and spread in the first market.

[36]37. (Amended) The program of claim [35]36 further comprising software for displaying an order book display of offers to buy and offers to sell the securities so as to enable the user to see how the security is trading on a user-to-user system.

[37]38. (Amended) The program of claim [36]37 wherein the order book comprises a column indicating price, columns indicating buy side offers, and columns indicating sell side offers.

[38]39. (Amended) The program of claim [33]34 further comprising software for displaying an alphanumeric summary of user's average price paid in connection with the security and the user's current profit or loss for the security based on the current price of the security.

P [39]40. (Amended) A computer method of providing a computer interface which facilitates electronic security trading by a user communicating over a network with at least one computer system, comprising: (a) graphically displaying bid, ask, and spread for a security in active trading in a first market; and (b) simultaneously graphically displaying a trade for the security in a second market in such a manner that a value of the trade in the second market can be readily visually compared with the bid, ask, and spread in the first market.


[40]41. (Amended) The method of claim [39]40 wherein the trade in the second market is the last trade in the second market.

[41]42. (Amended) The method of claim [39]40 further comprising simultaneously graphically indicating user's position in the security based on the average price of shares held in user's account such that the indicated user's position can be readily visually compared with the displayed value of the trade in the second market and the bid, ask, and spread in the first market.

[42]~~43~~. (Amended) The method of claim [39]~~40~~ further comprising displaying an order book of offers to buy and offers to sell the securities so as to enable the user to see how the security is trading on a user-to-user system.

[43]~~44~~. (Amended) The method of claim [42]~~43~~ wherein the order book comprises a column indicating price, columns indicating buy side offers, and columns indicating sell side offers.

[44]~~45~~. (Amended) The method of claim [39]~~40~~ further comprising displaying an alphanumeric summary of the user's average price of the security and the user's current profit or loss for the security based on the current price of the security.

 [45]~~46~~. (Amended) A computer program for providing a computer interface facilitating electronic trading by a user communicating over a network with at least one computer system, comprising: software for electronically shrinking a master trade display so as to change view to a summary display and display of function buttons in response to a command from the user; software for electronically shrinking the summary display and the display of function buttons so as to change view to only the display of function buttons in response to a command from the user; and software for electronically shrinking the summary display so as to change view to fully compressed view in response to a command from the user.

[46]~~47~~. (Amended) A computer method for providing a computer interface facilitating electronic trading by a user communicating over a network with at least one computer system, comprising:

electronically shrinking a master trade display so as to change view to a summary display and display of function buttons in response to a command from the user;

electronically shrinking the summary display and the display of function buttons so as to change view to only the display of the function buttons in response to a command from the user; and

electronically shrinking the summary display so as to change view to fully compressed view in response to a command from the user.

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[47]48. (Amended) A computer program providing a real-time trading environment to a user communicating with at least one trading system over the Internet from a user workstation, comprising: software resident at the workstation and receiving over the Internet, interpreting, and displaying as non-overlapping simultaneously displayed windows at least the following data: a) data relating to price quotes for securities, b) data relating to account balances, c) data relating to news items regarding securities, and d) data relating to user's position in securities.

[48]49. (Amended) The program of claim [47]48 wherein the security is a stock.

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[49]50. (Amended) The program of claim [47]48 further comprising means for receiving updates to the price/quotes for at least one security without the user requesting each of the updates and means for displaying an updated quote to the user.

[50]51. (Amended) The program of claim [47]48 further comprising software for displaying in a graphical form market value of a security.

[51]52. (Amended) The program of claim [47]48 further comprising software for displaying offers to buy and offers to sell securities in a user-to-user trading.

[52]53. (Amended) A method of presenting information about market conditions to a user at a user workstation networked to at least one server comprising:

displaying numerical information representing detailed trading data for a security in a first market;

displaying a summary graphical display representing summary trading information for the security in the first market; and

displaying graphical information on the summary display representing position of the security in a second market.

[53]54. (Amended) The method of claim [52]53 wherein the second market is a national exchange.

[54]55. (Amended) The method of claim [52]53 further comprising graphically displaying data representing user's holdings of the security on the summary display.

[55]56. (Amended) The method of claim [55]53 further comprising displaying user's P&L in the security.

[56]57. (Amended) A method of claim [52]53 further comprising updating the trading data for the security in real-time without a user requesting updates.


[57]58. (Amended) A method of trading securities over a network comprising:
in response to a user selecting first securities on a display, electronically performing the following steps:

- (a) automatically filling in a trade ticket based on user's holdings in the first securities and user-specified defaults;
- (b) automatically displaying news relating to the first securities, and
- (c) electronically highlighting at least one other item of displayed data relating to the first securities.

[58]59. (Amended) The method of claim [57]58 further comprising in response to sending an order defined in the trade ticket, displaying a flashing color-coded verification screen representing a desired transaction.

[59]60. (Amended) The method of claim [57]58 further comprising displaying to the user progress of the order.

[60]61. (Amended) A computer program for providing a computer interface which facilitates electronic security trading by a user communicating over a network with at least one computer system, comprising: (a) software for graphically displaying trading data for a first security in active trading in a first market; and (b) software for simultaneously graphically displaying a trade for the first security in a second market in such a manner that a value of the trade for the first security in the second market can be readily visually compared with the trading data for the first security in the first market; (c) software for simultaneously graphically displaying trading data for a second security in active trading in a first market; and (d) software for simultaneously graphically displaying a trade for the second security in a second market in such a manner that a value of the trade for the second security in the second market can be readily visually compared with the trading data for the second security in the first market..

 [61]62. (Amended) The program of claim [60]61 wherein the trading data for the first security is bid, ask, and spread for the first security.

[62]63. (Amended) The program of claim [61]62 wherein the trading data for the second security is bid, ask, and spread for the second security.

[63]64. (Amended) The program of claim [60]61 further comprising software for simultaneously graphically indicating user's position in the first security based on price of shares held in user's account such that the indicated user's position can be readily visually compared with the displayed value of the trade for the first security in the second market and the trading data for the first security in the first market.

[63]65. (Amended) The program of claim [63]64 further comprising software for simultaneously graphically indicating user's position in the second security based on price of

shares held in user's account such that the indicated user's position can be readily visually compared with the displayed value of the trade for the second security in the second market and the trading data for the second security in the first market.--

A [64]66. (Amended) A computer method for providing a computer interface which facilitates electronic security trading by a user communicating over a network with at least one computer system, comprising: (a) graphically displaying trading data for a first security in active trading in a first market; and (b) simultaneously graphically displaying a trade for the first security in a second market in such a manner that a value of the trade for the first security in the second market can be readily visually compared with the trading data for the first security in the first market; (c) simultaneously graphically displaying trading data for a second security in active trading in a first market; and (d) simultaneously graphically displaying a trade for the second security in a second market in such a manner that a value of the trade for the second security in the second market can be readily visually compared with the trading data for the second security in the first market..

[65]67. (Amended) The method of claim [64]66 wherein the trading data for the first security is bid, ask, and spread for the first security.

[66]68. (Amended) The method of claim [65]67 wherein the trading data for the second security is bid, ask, and spread for the second security.

[67]69. (Amended) The method of claim [64]66 further comprising the step of simultaneously graphically indicating user's position in the first security based on price of shares held by the user such that the indicated user's position can be readily visually compared with the displayed value of the trade for the first security in the second market and the trading data for the first security in the first market.

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[68]70. (Amended) The [program] method of claim [66]68 further comprising the step of simultaneously graphically indicating user's position in the second security based on price of shares held by the user such that the indicated user's position can be readily visually compared with the displayed value of the trade for the second security in the second market and the trading data for the second security in the first market.

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RESPONSE TO RESTRICTION REQUIREMENT

A petition is enclosed to extend to November 1, 2000, the time for responding to this restriction requirement.

In the Office Action of August 1, 2000, Applicant was required to elect one of the following six groups for prosecution:

GROUP I Claims 1-15 and 21-28, drawn to a method of trading securities on a user-to-user trading system, classified in class 705, subclass 37.

GROUP II Claims 16-20, 29-33 and 48-52, drawn to a computer program for providing a computer interface which facilitates security trading by a user communicating over a network with at least one computer system, classified in class 705, subclass 37.

GROUP III Claims 34-45 and 61-70 drawn to a computer program and method for providing computer interface which facilitates trading by a user communicating over a network with at least one computer system, classified in class 705, subclass 37.

GROUP IV Claims 46 and 47, drawn to a computer program and method for providing computer interface which facilitates trading by a user communicating over a network with at least one computer system, classified in class 705, subclass 37.

GROUP V Claims 53-57, drawn to a method of presenting information about market conditions to user at a user workstation networked to at least one server, classified in class 705, subclass 37.

GROUP VI Claims 58-60, drawn to a method of trading securities over a network, classified in class 705, subclass 37.

Applicant respectfully traverses this Restriction Requirement. As the Examiner notes, the claims in each of these six groups relate to trading of securities which is classified in class 705, subclass 37. Thus, regardless of whether the invention in the six classes are distinct, the fact remains that they are not classified differently and do not have separate status in the art. Therefore, restriction is not proper.

With respect to the claims classified in Group I, Applicant further wishes to note that claims 8-15 and 21-28 are not method claims but rather, in the case of claims 8-15, are directed to a computer program for providing a computer interface and in the case of claims 21-28 are directed to an article of manufacture storing a computer program for providing a computer interface. As such, claims 8-15 and 21-28 appear to be more closely related to the claims of Group II than to claims 1-7 of Group I.

In accordance with the restriction requirement to elect a group for prosecution, Applicant elects Group II, claims 16-20, 29-33 and 48-52 with traverse. Applicant submits that claims 8-15 and 21-28 should be included in Group II for the reasons noted above.

Please charge any required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully Submitted,



Francis E. Morris

Reg. No. 24,615

PENNIE & EDMONDS LLP

1155 Avenue of the Americas

New York, NY 10036-2711

(212) 790-9090